



Ethics Tipline Case Transfer Protocol

Issued: October 2009
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Introduction

The following protocol was developed to effectively administer cases that need to be transferred between the Louisville Metro Department of Human Resources and the Louisville Metro Police Department. User security for The Network's case management system is driven by incident type. The incident types are routed to either Human Resources or Police. The departments do not have access to the incident reports that are not routed to them. This security applies even if the case needs to be transferred between the departments.

The protocol was developed after consultation with representatives from The Network, Human Resources, and Police. It is intended as a work around solution to the security issue, while protecting the integrity of incident type routing.

Protocol

- If the Louisville Metro Police Department cannot substantiate criminal allegations or if the report is not actionable as a criminal investigation, the incident report may be transferred to the Department of Human Resources for investigation of ethical and/or policy violations. The Louisville Metro Police Department should only transfer or forward an incident report to either the Department of Human Resources or the Office of Internal Audit. This is to ensure confidentiality.
- If the Department of Human Resources determines that an incident report involves criminal activity, the incident report should be transferred to the Louisville Metro Police Department.
- The Department of Human Resources may seek assistance from other Louisville Metro Departments when investigating ethical and/or policy violations. However, the primary responsibility for investigating the incident report, which includes but is not limited to determining and reporting incident outcomes, should remain with the Department of Human Resources.
- The Louisville Metro's Ethics Tipline administrator in the Office of Internal Audit (May Porter) is notified via email that the case needs to be transferred.
- Using The Network's Case Management system, the administrator changes the incident type for the incident report. The incident type is changed to one that is routed to the department the report is being transferred to. A note is entered into the case management system that the incident type was changed as requested to transfer the case. The incident type will not be changed back to the original incident type upon completion of the investigation.



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- Using The Network's Case Management system, the administrator transfers the incident report to a Case Manager in the department that will receive the case. A note is entered into the case management system that the case was transferred as requested.
- This process does not result in the generation of a new incident report.
- For internal tracking purposes, the Ethics Tipline activity spreadsheet will contain the original information received. A note will be included that it was reassigned with the department name noted.
- The email requesting transfer of the case will be printed and retained with the printed copy of the original incident report.